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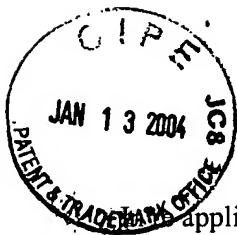
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01-14-04

RECEIPT

PATENT  
030676



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

application of: :  
Woodruff et al. : ENHANCED PREMIUM EQUITY  
 : PARTICIPATING SECURITIES  
 :  
Serial No. 10/679,054 :  
 : Art Unit: 2634  
 :  
Filed: October 3, 2003 :

REQUEST FOR CORRECTED FILING RECEIPT

Office of Initial Patent Examination (OIPE)  
Filing Receipt Corrections  
Commissioner for Patents  
Box 1450  
Alexandria, VA 22313-1450

Sir:


A filing receipt for the above-referenced application has been received. The filing receipt, however, incorrectly lists the filing date as October 2, 2003. The correct filing date is October 3, 2003. Therefore, Applicants respectfully request a corrected filing receipt.

A copy of receipt indicating the date of October 3, 2003 form PTO/SB/05 (Utility Patent Application Transmittal) is enclosed as Exhibit A indicating that the application was mailed October 3, 2003. Enclosed as Exhibit B is a Return Receipt Postcard (MPEP § 503) from the Patent Office indicating that the application was filed on October 3, 2003. A copy of the filing receipt marked with the appropriate correction is also enclosed, as Exhibit C.

A representative of the Office of Initial Patent Examination is invited to contact the undersigned to resolve any outstanding questions regarding this matter.

Date: Jan 13, 2004

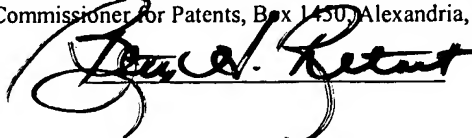
Respectfully submitted,

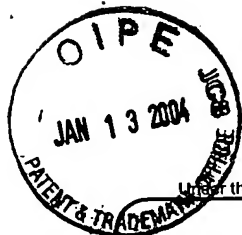
  
Mark G. Knedeisen  
Registration No. 42,747

KIRKPATRICK & LOCKHART, LLP  
Henry W. Oliver Building  
535 Smithfield Street  
Pittsburgh, Pennsylvania 15222  
Ph. (412) 355-6342  
Fax (412) 355-6501

"Express Mail" mailing label number EU150829518US  
Date of Deposit January 13, 2004

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to the Office of Initial Patent Examination (OIPE), Filing Receipt Corrections, Commissioner for Patents, Box 1450, Alexandria, VA 22313-1450.





PTO/SB/05 (08-03)

Approved for use through 07/31/2006. OMB 0651-0032

U.S. Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE

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**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.	030676
First Inventor	K. Woodruff
Title	ENHANCED PREMIUM ....
Express Mail Label No.	EU990164407US

**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents.

**ADDRESS TO:**Mail Stop Patent Application  
Commissioner for Patents  
P.O. Box 1450  
Alexandria VA 22313-1450

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.  
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 25]  
(preferred arrangement set forth below)  
- Descriptive title of the invention  
- Cross Reference to Related Applications  
- Statement Regarding Fed sponsored R & D  
- Reference to sequence listing, a table,  
or a computer program listing appendix  
- Background of the Invention  
- Brief Summary of the Invention  
- Brief Description of the Drawings (if filed)  
- Detailed Description  
- Claim(s)  
- Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 6]
5. Oath or Declaration [Total Sheets 3]  
a. ☒ Newly executed (original or copy)  
b. ☐ Copy from a prior application (37 CFR 1.63(d))  
(for continuation/divisional with Box 18 completed)  
i. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s)  
name in the prior application, see 37 CFR  
1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

7. ☐ CD-ROM or CD-R in duplicate, large table or  
Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)  
a. ☐ Computer Readable Form (CRF)  
b. Specification Sequence Listing on:  
i. ☐ CD-ROM or CD-R (2 copies); or  
ii. ☐ Paper  
c. ☐ Statements verifying identity of above copies

**ACCOMPANYING APPLICATION PARTS**

9. ☒ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement [ ] Power of Attorney  
(when there is an assignee)
11. ☐ English Translation Document (if applicable)
12. ☒ Information Disclosure [X] Copies of IDS  
Statement (IDS)/PTO-1449 Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
16. ☐ Nonpublication Request under 35 U.S.C. 122  
(b)(2)(B)(i). Applicant must attach form PTO/SB/35  
or its equivalent.
17. ☐ Other: .....

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in the first sentence of the specification following the title, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: .....

Prior application information:

Examiner

Art Unit:

For CONTINUATION OF DIVISIONAL APPS only; The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

**19. CORRESPONDENCE ADDRESS**

☒ Customer Number: 26285 OR ☐ Correspondence address below

Name			
Address			
City	State	Zip Code	
Country	Telephone	Fax	

Name (Print/Type)	Mark G. Knedeisen	Registration No. (Attorney/Agent)	42,747
Signature	<i>Mark Knedeisen</i>	Date	10/3/03

This collection of information is required by 37 CFR 1.53(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Mail Stop Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.



## UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
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APPL NO.	FILING OR 371 (c) DATE	ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLMS	IND CLMS
10/679,054	<del>10/02/2003</del> 10/03/2003	2634	1176	030676	6	33	5

26285  
KIRKPATRICK & LOCKHART LLP  
535 SMITHFIELD STREET  
PITTSBURGH, PA 15222

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JAN. 02 2004

KIRKPATRICK &amp; LOCKHART LLP

CONFIRMATION NO. 1616

FILING RECEIPT



\*OC000000011591027\*

Date Mailed: 12/31/2003

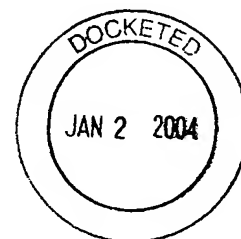
Receipt is acknowledged of this regular Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. **If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Filing Receipt Corrections, facsimile number 703-746-9195. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).**

**Applicant(s)**

Kevin G. Woodruff, New York, NY;  
Serkan Savasoglu, New York, NY;  
Nathan N. McMurtray, New York, NY;

**Domestic Priority data as claimed by applicant****Foreign Applications****If Required, Foreign Filing License Granted: 12/30/2003****Projected Publication Date: 04/07/2005****Non-Publication Request: No****Early Publication Request: No****Title**

Enhanced premium equity participating securities

**Preliminary Class**



705

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**LICENSE FOR FOREIGN FILING UNDER  
Title 35, United States Code, Section 184  
Title 37, Code of Federal Regulations, 5.11 & 5.15**

**GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

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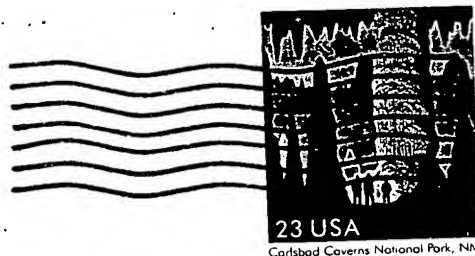
S.N. 23626  
Title: Enhanced Premium

The PTO acknowledges, and has stamped hereon,  
the date of receipt of the below items, which were  
mailed 10-3-03

- ☒ New Pat. Appl. Trans.  
(Utility, Design, CPA, PROV.)
- ☒ Fee Transmittal (2x)
- ☒ Transmittal Letter
- ☒ PCT Request and fee calc. sheet
- ☒ PCT Chapter 2 Demand
- ☒ Specification
- ☒ 6 sheets of informal drawings
- ☒ 6 sheets of formal drawings
- ☒ Maint. Fee Transmittal
- ☒ Oath/App. of Agent
- ☒ Assignment & PTO Form - 1555 (2x)
- ☒ Amendment Transmittal (2x)
- ☒ Amendment
- ☒ 3.73 Statement
- ☒ Terminal Disclaimer
- ☒ Declaration(s)
- ☒ Information Disclosure Statement
- ☒ Form PTO ~~1449~~ SB-084
- ☒ References
- ☒ REC Transmittal
- ☒ Foreign Draft Check
- ☒ Issue Fee
- ☒ PTO Forms 85(b) (2x)
- ☒ Fee Indication Sheet
- ☒ *cf. only*

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D.A.*



## Kirkpatrick & Lockhart LLP

Henry W. Oliver Building  
535 Smithfield Street  
Pittsburgh, PA 15222-2312

ATTN: Terri J. Watson

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OCT 16 2003

KIRKPATRICK & LOCKHART LLP

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